



Department of Corporations'  
***Investment Adviser  
Education Seminar***  
November 15, 2006

The California Department of Corporations is pleased to announce our Investment Adviser Education Seminar for the San Mateo and Santa Clara areas. We invite you to attend this free seminar.

**Date:** Wednesday, November 15, 2006

**Time:** 1:00 pm to 5:00pm (registration begins at 12:30pm)

**Location:** Santa Clara Convention Center

Great America Meeting Rooms 1 & 2  
5001 Great America Parkway  
Santa Clara, CA 95054

The seminar will provide detailed information for preparing your annual financial report and annual updating amendment. Other topics will include:

- ❖ **Form ADV, Form U4, and Form U5 Filing Requirements**
- ❖ **Books and Records (No-Action Letters, Custody, etc.)**
- ❖ **Reporting Requirements**
- ❖ **The Examination Process**
- ❖ **Administrative Penalties**

SEATS ARE LIMITED so please respond via e-mail to [RAE@corp.ca.gov](mailto:RAE@corp.ca.gov) or telephone to David Byrd at (415) 972-8581 by Monday, November 6, 2006 and include the following information in your RSVP.

- ☐ **Firm Name**
- ☐ **E-mail address**
- ☐ **Name of attendee(s)**
- ☐ **SRD No. 925- and/or IARD No.**

Confirmations will be sent via e-mail with directions and instructions for free parking.